

RECEIVED
CENTRAL FAX CENTER
AUG 02 2007

DANN, DORFMAN, HERRELL AND SKILLMAN

A Professional Corporation

1601 Market Street, Suite 2400

Philadelphia, PA 19103-2307

Telephone (215) 563-4100, Facsimile (215) 563-4044, Email: RNetter@ddhs.com

FAX COVER SHEET**CONFIDENTIALITY NOTE**

This facsimile transmission may contain information which is confidential and/or privileged. The information is intended for the individual or entity named on this transmission sheet. If you are not the intended recipient, be aware that any disclosure, copying or use of the contents of this facsimile is prohibited. If you have received this facsimile in error, please call us at (215) 563-4100 immediately so that we can arrange for a corrected transmission and the retrieval of any original documents at no cost to you.

DELIVER TO: Office of Initial Patent Examinations
Filing Receipt Corrections
U.S. Patent and Trademark Office

FACSIMILE #: (571) 273-8300

DATE: August 2, 2007

OPERATOR: Jane C. Bogan

RE: U.S. Patent Application No. 10/560,670
Confirmation No. 2339

Please add the co-inventor's name and residence to the Official Filing Receipt in connection with the above-referenced patent application. The co-inventor's name and residence should read:

Anthony David Woolhouse, Wellington, NEW ZEALAND

Facsimile transmitted herewith is a marked up copy of the official filing receipt to show the changes, a copy of the three page Declaration submitted January 23, 2007, and a copy of a postcard evidencing receipt of the Declaration by the Patent Office on January 25, 2007.

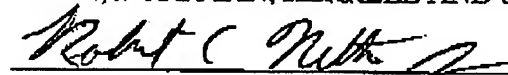
It is further requested that a new official filing receipt be issued when the Patent and Trademark Office records have been corrected.

In the event the that a fee is required in connection with this submission and not enclosed, the Commissioner is authorized to charge such fee to the account of the undersigned attorneys, Account No. 04-1406. A duplicate copy of this sheet is enclosed.

215 563-4100 (T)
215 563-4044 (F)

Respectfully submitted,

DANN, DORFMAN, HERRELL AND SKILLMAN



Robert C. Netter, Jr., Ph.D. J.D.

PTO Registration No. 56,422

IF THE ACCOMPANYING/ABOVE MESSAGE IS NOT RECEIVED PROPERLY, PLEASE CALL
(215) 563-4100 AND LEAVE A MESSAGE FOR THE OPERATOR INDICATED ABOVE.

RECEIVED
CENTRAL FAX CENTER

AUG 02 2007



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPL NO.	FILING OR 371(c) DATE	ART UNIT	FIL FEE RECD	ATTY. DOCKET NO.	TOT CLMS	IND CLMS
10/560,670	01/25/2007	1752	1030	0074-530346	17	2

110
DANN, DORFMAN, HERRELL & SKILLMAN
1601 MARKET STREET
SUITE 2400
PHILADELPHIA, PA 19103-2307

CONFIRMATION NO. 2339

FILING RECEIPT

OC000000024136365

Date Mailed: 05/31/2007

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) Anthony David Woolhouse, Wellington, NEW ZEALAND

Andrew John Kay, Wellington, NEW ZEALAND;

Power of Attorney: The patent practitioners associated with Customer Number 110.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/NZ04/00124 06/17/2004

Foreign Applications

NEW ZEALAND 526561 06/18/2003

If Required, Foreign Filing License Granted: 05/30/2007

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/560,670**

Projected Publication Date: 09/06/2007

Non-Publication Request: No

Early Publication Request: No

Title

Zwitterionic Non-Linear Optophores And Devices Incorporating Same

Preliminary Class

430

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process simplifies the filing of patent applications on the same invention in member countries, but does not result in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof

unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PTO/SB/01 (10-05)
 Approved for use through 07/31/2008. OMB 051-0032
 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
 Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**DECLARATION FOR UTILITY OR
 DESIGN
 PATENT APPLICATION
 (37 CFR 1.63)**

☐ Declaration
 Submitted
 With Initial
 Filing

OR

☒ Declaration
 Submitted after Initial
 Filing (surcharge
 (37 CFR 1.18 (e))
 required)

Attorney Docket Number	0074-530348
First Named Inventor	Anthony David Woolhouse
COMPLETE IF KNOWN	
Application Number	PCT/NZ2004/000124
Filing Date	June 17, 2004
Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned

I hereby declare that:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

ZWITTERIONIC NON-LINEAR OPTOPHORES AND DEVICES INCORPORATING SAME

(Title of the invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY)

08/17/2004

as United States Application Number or PCT International

Application Number **PCT/NZ2004/000124** and was amended on (MM/DD/YYYY) **12/14/2005** (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT International application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
526561	NZ	06/18/2003	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

(Page 1 of 2)

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or maintain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance completing the form, call 1-800-PTO-9199 and select option 2.

PTO/SB/01 (10-05)

Approved for use through 07/31/2008. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DECLARATION — Utility or Design Patent Application

Direct all correspondence to:	<input checked="" type="checkbox"/> The address associated with Customer Number:	000110	OR	<input type="checkbox"/> Correspondence address below
Name				
Address				
City		State	ZIP	
Country	Telephone		Email metter@ddhs.com	
<p>WARNING:</p> <p>Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.</p> <p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.</p>				
NAME OF SOLE OR FIRST INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle (if any))		Family Name or Surname		
ANTHONY DAVID		WOOLHOUSE		
Inventor's Signature		Date		8 FEB 06
Residence: City	State	Country	Citizenship	
Wellington		New Zealand	New Zealand	
Mailing Address				
21 Harbour View Road, Northland				
City	State	Zip	Country	
Wellington			New Zealand	
<input checked="" type="checkbox"/> Additional inventors or a legal representative are being named on the 1 supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.				

[Page 2 of 2]

PTO/8B-02A (09-04)
Approved for use through 07/31/2008. OMB 0651-0032
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it contains a valid OMB control number.

DECLARATION	ADDITIONAL INVENTOR(S) Supplemental Sheet Page <u>1</u> of <u>1</u>
--------------------	--

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
ANDREW JOHN		KAY	
Inventor's Signature <i>Andrew Kay</i>		Date <i>16 FEB 06</i>	
Worthington		New Zealand	New Zealand
Residence: City	State	Country	Citizenship
23 Mon Street, Auckland, Lower Hutt			
Mailing Address			
Worthington			New Zealand
City	State	Zip	Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address			
City	State	Zip	Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address			
City	State	Zip	Country

This collection of information is required by 35 U.S.C. 116 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

USPTO Rec'd PCT/PTO 25 JAN 2007

In re the Application of:

Anthony D. Woolhouse, et al.

Appl. No. 10/560,670

Filing Date: December 14, 2005

Intl. Appl. No. PCT/NZ2004/000124

Intl. Filing Date: 17 June 2004

For: ZWITTERIONIC NON-LINEAR
OPTOPHORES AND DEVICES
INCORPORATING SAME

The following paper has been received:

Transmittal Sheet w/Date of Mailing (second submission)
Form PTO-1390 Transmittal Letter to the United States
Designated/Elected Office (DO/EO/US Concerning a
Filing Under 35 U.S.C. 371 (in duplicate)
Copy Notification of Missing Requirements...
Form PTO/SB/01 Declaration - 3 pages
Form PTO/SB/81 Power of Attorney...2 pages
Check for \$130.00 (surcharge for late oath filing)

The Patent and Trademark Office is respectfully requested to place its STAMP and the POSTAL CARD and place it in the outgoing mail.

Mailed: January 23, 2007

By: Robert C. Netter, Jr., Ph.D.

Docket: 0074-530346